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Human resources management

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Report of the Advisory Committee on Administrative and Budgetary Questions

I. Introduction

1. The Advisory Committee on Administrative and Budgetary Questions has considered the following reports of the Secretary-General:

(a) Composition of the Secretariat: staff demographics (A/68/356);

(b) Practice of the Secretary-General in disciplinary matters and possible criminal behaviour, 1 July 2012 to 30 June 2013 (A/68/130);

(c) Amendments to the Staff Regulations and Rules (A/68/129);

(d) Activities of the Ethics Office (A/68/348).

2. During its consideration of the reports, the Advisory Committee met with representatives of the Secretary-General who provided additional information and clarification, concluding with written responses received on 11 October 2013.

II. Composition of the Secretariat

3. The report of the Secretary-General entitled "Composition of the Secretariat: staff demographics" (A/68/356), which covers the period from 1 July 2012 to 30 June 2013, is submitted pursuant to various General Assembly resolutions concerning human resources management, the most recent of which are resolutions 65/247, 66/234 and 67/255. The report presents a demographic analysis of the global staff of the Secretariat and of staff subject to the system of desirable ranges.

4. The main changes introduced since the issuance of the previous report (A/66/347) are summarized in table 3 of the report. New elements include tables showing staff changes in all Secretariat entities (table 5); high-level appointments with $1-a-year contracts (table 10); distribution of staff subject to desirable ranges

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by economic grouping (table 22), as requested by the General Assembly in its resolution 67/255 (paras. 64 and 48, respectively); all staff by category and grade (table 7); and staff movements (table 15). **The Advisory Committee welcomes the inclusion of the additional information and the presentational improvements in the report.**

5. The Advisory Committee has previously pointed to the need for greater trend analysis in the report by, for example, identifying the reasons for different patterns, particularly those emerging since the issuance of the previous report, to help the reader to grasp the meaning of the statistical data and tables (A/66/511, para. 4, and A/67/545, para. 138). For example, while a slight increase in the average age of staff of the Secretariat is attributed to the closure of the United Nations Integrated Mission in Timor-Leste, no comment is made about the lack of progress over the past five years in achieving rejuvenation targets. Similarly, no analytical information is included with respect to the static ratio of female to total staff over the last five years. **The Committee therefore reiterates its previous recommendation that the Secretary-General supplement the raw data presented in the composition report with additional analysis of demographic trends and the possible underlying reasons for those trends.**

6. A summary of staff movements during the reporting period is provided in table 15 of the report (see annex I below). The Advisory Committee notes that there were 3,838 separations and 3,856 appointments during the reporting period (defined as external movements) from an overall staff population of 27,383 as at 30 June 2012. Further details concerning different types of separation are provided in table 16 of the report. It is indicated that there were 403 transfers or lateral movements of staff. Upon enquiry, the Committee was informed that 157 of those movements involved a move to a duty station in a different country. The Committee will make detailed observations and recommendations on the Secretary-General's proposals on staff mobility in its forthcoming report on the subject.

7. In figure VII and paragraph 23 of the report, the Secretary-General comments on the average age of the Secretariat, which stands at 43.4 years, and reflects a slight increase from the past year, which is a continuation of a trend already noted by the Advisory Committee in its report concerning the ageing trend of Secretariat staff from 2011 to 2012 (A/67/545, para. 139). **Given that the General Assembly has previously stated that the rejuvenation of the Secretariat is a priority, the Committee reiterates its view that the Secretary-General should keep the age profile of the Organization under close review by continuously monitoring demographic trends.**

8. In its previous report, the Advisory Committee had expressed its concern over the lack of clarity regarding the recording of the geographical status of staff members in the Integrated Management Information System and specifically the need to review the data as quickly as possible to ensure that the status of 499 staff was correctly recorded (ibid., para. 146). In its review of the report of the Secretary-General, the Committee notes that, following the completion of a data review exercise conducted since the issuance of the previous report, the number of staff subject to the system of desirable ranges now stands at 2,907, up from 2,245 in 2012 (A/68/356, sect. IV). This had led to movements in the desirable ranges for certain Member States (ibid., table 21).

9. The number of unrepresented and underrepresented countries has improved significantly over the past two reporting periods (ibid., table 20), although the Secretary-General points out that the increase in Member State representation is due mainly to the above-mentioned data review exercise. **The Advisory Committee notes that the number of unrepresented, underrepresented and overrepresented countries improves only minimally in comparison with the figures for 2009, bearing in mind that in 2010, the General Assembly decided to mandate a change to the method of determining geographic status (resolution 65/247). The Committee recalls paragraph 60 of resolution 67/255, in which the Assembly reiterated its request that the Secretary-General continue his efforts to ensure the attainment of equitable geographical distribution in the Secretariat and ensure as wide a geographical distribution of staff as possible in departments and offices and at all levels, including at the Director and higher levels, of the Secretariat.**

10. The Advisory Committee has previously expressed its concern about the large proportion of geographical posts that are not encumbered by staff having geographical status (A/67/545, para. 145, and A/66/511, para. 7). The Committee notes that of the 3,470 posts in the Secretariat subject to geographical distribution, 259 continue to be encumbered by staff without geographic status or with limited appointments (A/68/356, footnote 10). The Committee notes that the General Assembly supported the Committee's own recommendation that the Secretary-General be requested to take concrete measures to address this issue and to report thereon to the Assembly at its sixty-ninth session (resolution 67/255, para. 61). The Assembly has also endorsed the Committee's recommendation that the Secretary-General present proposals for a comprehensive review of the system of desirable ranges (A/67/545, para. 54). **The Committee looks forward to receiving details of the Secretary-General's proposals as part of his next overview of human resources management reform.**

11. The Advisory Committee notes that the goal of gender parity in the Secretariat continues to be elusive, with women representing 33.9 per cent of the staff globally across all categories and 40.6 per cent of staff in the Professional category and above (A/68/356, annex, table 1.A, and table 11, respectively). Considerable progress is demonstrated in the overall distribution of women at the D-1 level and above since 2009, although the Committee notes only minimal improvement over the previous reporting period at the D-2, Assistant Secretary-General and Under-Secretary-General levels (ibid., table 8). Upon enquiry, the Committee was informed that given that gender parity has been reached at the junior professional levels, the Secretary-General has now placed renewed emphasis on attracting, hiring and retaining women at the P-5 and higher levels and that outreach efforts in that regard are ongoing. **The Committee reiterates its view that greater efforts are required to improve the representation of women, in particular at senior levels in the Organization. The Committee encourages the Secretary-General to lead by example in this regard when appointing Assistant Secretaries-General and Under-Secretaries-General.**

12. With regard to the breakdown of Secretariat staff by grade and entity as at 30 June 2013, the Advisory Committee notes that there are 146 staff at the levels of Under-Secretary-General and Assistant Secretary-General (ibid., table 7), compared with 143 personnel at those levels in the previous period (A/67/545, para. 140). Upon request, the Committee was provided with a list of those staff (see annex II).

The Committee also notes that different reports of the Secretary-General contain disparate figures in this regard. For example, a different figure was provided in the supplementary information provided to the Committee in the context of its review of the proposed programme budget for the biennium 2014-2015 and, in its recent consideration of the report of the Secretary-General on the activities of the Ethics Office (A/68/348), yet a different number was provided. The Committee was informed, upon enquiry, that discrepancies might be due to differences in cut-off dates and position management processes for different types of funding and that with the introduction of the enterprise resource planning system, Umoja, efforts will be made to ensure that proper position management is reflected for ease of reporting. **The Committee expresses concern that the Secretariat does not currently provide reliable and consistent information on the number of high-level posts and personnel.**

13. Concerning the changes in the staff population by entity over the course of the reporting period (A/68/356, table 5), the Advisory Committee notes an overall reduction of 36 staff at the United Nations Environment Programme (UNEP) as at 30 June 2013. In view of the decision of the General Assembly, in its resolution 67/213, to strengthen UNEP following the United Nations Conference on Sustainable Development and the related request for additional staff resources contained in the proposed programme budget for 2014-2015 (A/68/6 (sect. 14)), the Committee sought, but was not provided with, clarification as to the decline in the actual staffing number over 2012-2013. **The Committee expects that such clarification will be provided to the Assembly at the time of its consideration of the report on the composition of the Secretariat.**

III. Practice of the Secretary-General in disciplinary matters and possible criminal behaviour, 1 July 2012 to 30 June 2013

14. The report on the practice of the Secretary-General in disciplinary matters and possible criminal behaviour (A/68/130) was submitted pursuant to General Assembly resolution 59/287, in which the Assembly requested the Secretary-General to inform Member States on an annual basis about all actions taken in cases of established misconduct and/or criminal behaviour and the disciplinary action, and, where appropriate, legal action taken in accordance with established procedures and regulations. The report, which is the ninth such report of the Secretary-General and covers the period from 1 July 2012 to 30 June 2013, provides a broad overview of the administrative machinery in disciplinary matters, a summary of the cases in respect of which the Secretary-General imposed a disciplinary measure, comparative data reflecting the number of cases referred for action, the disposition of cases completed and information on cases of possible criminal behaviour.

15. In its previous report the Advisory Committee welcomed the provision of additional information contained in the case summaries as a means of providing an enhanced understanding of the practice of the Secretary-General in disciplinary matters (A/67/545, para. 151). During its consideration of the report, the Committee was informed that the Secretary-General had continued the practice of providing more detailed case information. The Committee was also informed that this continued to be a delicate task, as it is important that the information not be

provided in such a way as to breach the right to confidentiality of the staff members involved.

16. In section IV of his report, the Secretary-General includes data on the 115 cases completed during the reporting period (A/68/130, table 1) as well as comparative data from the past six reporting periods (ibid., table 2). The Advisory Committee notes that the backlog resulting from the significant increase in the number of cases received during the period from 1 July 2008 to 31 December 2009 has been cleared. This had been the subject of previous comment by the Committee (A/67/545, para. 154) and was also the justification for the provision of general temporary assistance resources approved by the General Assembly to help address the ongoing backlog. **The Committee commends the Secretary-General for the elimination of the case backlog.**

17. Concerning the length of time taken to dispose of cases, the Advisory Committee notes the Secretary-General's indication that the average time taken during the reporting period to dispose of cases after their referral to the Office of Human Resources Management was 6.6 months (A/68/130, para. 58). The Secretary-General explains that jurisprudence emerging from the United Nations Dispute and Appeals Tribunals, in which the standard of proof in disciplinary cases that could result in a termination is "clear and convincing evidence", has resulted in the need to gather further input from investigating entities after the initial referral of the matter (ibid., para. 57). The Advisory Committee also notes that there has been a general increase in the percentage of cases not being pursued as disciplinary matters and that the higher evidentiary threshold is a relevant factor in this regard, with some cases more appropriately addressed through administrative rather than disciplinary measures (ibid., para. 59). **The Committee remains concerned about the length of time taken to complete cases (see A/67/545, para. 154) and expects that the Secretary-General will keep this matter under close review and take additional steps to ensure that case backlogs do not recur.**

18. The Advisory Committee notes that the report of the Secretary-General includes data on the number of appeals contesting disciplinary measures imposed since the introduction of the new system of administration of justice in 2009, as well as the status of those appeals before the Dispute and Appeals Tribunals (A/68/130, tables 3 and 4 and paras. 61 and 62). The Secretary-General indicates that a relatively small percentage of disciplinary measures has been challenged and that the percentage of disciplinary measures that have been appealed is declining (11 per cent in the current reporting period as compared with 24 per cent in the period ended 30 June 2010). **The Committee welcomes the inclusion of this information in the report of the Secretary-General, as well as the important trends that are starting to emerge. The Committee believes that in future reports additional information could be provided, in this regard, as trends concerning the outcome of appeals relating to disciplinary measures become more conclusive.**

19. The report of the Secretary-General indicates that 131 cases were referred to the Office of Human Resources Management for possible disciplinary action during the reporting period, 72 per cent of which related to staff in the field (ibid., tables 5-7), compared with 95 such cases received in the prior reporting period, 60 per cent of which originated from the field (ibid., para. 64).

20. The Advisory Committee notes that the overall number of cases reported across all parts of the Organization involve a relatively small proportion of

Secretariat staff. The Committee also notes in this regard that all staff have a duty to report allegations of misconduct. The Secretary-General states in his report that a new administrative instruction on investigations and the disciplinary process is currently under preparation and is the subject of discussion and consultation among managers and other stakeholders (ibid., para. 6). **The Committee believes that in conjunction with expediting the finalization of the new administrative instruction on investigations and the disciplinary process, the Secretary-General may wish to launch an informational campaign reminding staff of their responsibilities in terms of reporting allegations of wrongdoing or misconduct through the appropriate channels.**

21. Concerning efforts by the Organization to recoup losses resulting from the acts of current and former staff members, the Advisory Committee was informed, upon enquiry, that staff rule 10.1 (b) provides for the recovery of financial losses resulting from actions of a staff member that amount to misconduct. The Committee was also informed that an amendment to the administrative instruction on the disciplinary process includes a proposal relating to the implementation of staff rule 10.1 (b). In addition, if misconduct is established prior to separation, the Organization can recover monies owed from the staff member's final entitlements. The Committee notes that in very specific circumstances, pursuant to General Assembly resolution 67/240, the United Nations Joint Staff Pension Fund can now pay a portion of a retiree's benefit directly to the former employing organization in cases where amounts have been embezzled by the staff member. **The Committee stresses the importance of pursuing all steps necessary to ensure that any losses arising from the misconduct of current or former staff members are recouped by the Organization.**

IV. Amendments to the Staff Regulations and Rules

22. Consistent with staff regulations 12.1 and 12.3, the report of the Secretary-General (A/68/129) contains the full text of amendments to existing regulations that the Secretary-General proposes to implement as from 1 January 2014, as well as the new rules and amendments to existing rules that the Secretary-General either promulgated provisionally in 2013 or proposes to implement as from 1 January 2014. The Advisory Committee notes that, as a result of a recommendation contained in its previous report (A/67/545, para. 157), the text of the amendments to the regulations and rules is presented with the proposed changes highlighted for ease of reference.

23. The Advisory Committee notes that, aside from a number of amendments that are mainly technical in nature, the amendments include changes to: regulation 9.2 reflecting the General Assembly's decision to raise the mandatory age of separation to 65 for staff appointed on or after 1 January 2014; rule 1.2 (e) on the inclusion of sexual exploitation and abuse as a specific instance of prohibited conduct under the basic rights and obligations of staff; and rule 5.3 (f) to account for situations in which the Secretary-General would, at his or her own initiative, place a staff member on special leave with partial pay or without pay if he or she considers such leave to be in the interest of the Organization.

24. Concerning the proposed addition of staff rule 1.2 (e) in connection with the prohibition of sexual exploitation and abuse, the Advisory Committee was informed,

upon enquiry, that the amendments proposed were already contained in the relevant Secretary-General's bulletin (ST/SGB/2003/13). The Committee notes that the inclusion of this clause in the Staff Rules is aimed at elevating the importance of this issue in terms of specifying instances of prohibited conduct for United Nations staff. **The Committee believes, however, that continued efforts above and beyond amendments and additions to the Organization's Staff Rules are required to ensure that the Secretary-General's zero-tolerance policy with respect to sexual exploitation and abuse is observed at all times by all United Nations personnel.**

V. Activities of the Ethics Office

25. The eighth annual report of the Secretary-General on the activities of the Ethics Office (A/68/348), submitted in accordance with General Assembly resolution 60/254, provides an overview and assessment of the programme of work of the Office during the period from 1 August 2012 to 31 July 2013. In response to the request of the Assembly set out in its resolution 63/250, the report also includes information on the activities of the Ethics Panel of the United Nations (formally known as the Ethics Committee), which is mandated to establish unified ethical standards and policies across the Secretariat and the separately administered organs and programmes. During its consideration of the report, the Advisory Committee met with representatives of the Secretary-General who provided additional information and clarification, concluding with written responses received on 13 September 2013.

26. During the reporting period, the Ethics Office received 804 requests for services, representing a decrease of 83 cases, or 9.4 per cent, compared with the requests received during the preceding period. The Advisory Committee notes that this reduction coincides with the first full year of operation of the Office's new website, which registered more than 60,000 individual visits during the period (A/68/348, para. 52). The Secretary-General also refers to the commitment of the Office to expanded outreach, awareness-raising and ethics education over the past three reporting periods (ibid., para. 9). A breakdown of requests for services from different locations and entities is provided in figure II of the report. This wider engagement is, according to the report, reflected in the steady increase in the percentage of service requests coming from outside Headquarters — 66 per cent in 2012/13, compared with 48 per cent in 2009/10 (ibid., para. 10). **The Committee commends the Ethics Office for its efforts to increase the awareness of ethics-related issues across the Secretariat. The Committee welcomes the reduction in the quantity of requests for services in the reporting period and believes that this may be attributable to outreach, training and education efforts undertaken by the Ethics Office, including the establishment of its new website.**

27. The Secretary-General states that 459 requests, or 57 per cent of all requests received by the Office, related to requests for ethics advice and guidance (ibid., para. 14). Those requests fall into the following eight categories: employment-related concerns; gifts and hospitality, outside activities; personal investments and assets; allegations of wrongdoing; post-employment restrictions; procurement ethics; and other conflict of interest (ibid., figure IV). The complexity of the requests for advice received by the Office during the reporting period increased, which, in the view of the Office, indicates that staff are turning to it for assistance

with situations that present multiple issues, factual complexity and uncertain consequences (ibid., para. 15).

28. As in past periods, the largest number of requests for advice focus on outside activities. Upon enquiry, the Advisory Committee was informed that under staff regulation 1.2, staff members wishing to engage in such activities must obtain the approval of the Secretary-General. The procedures for such approval in cases of outside employment and activities related to the purpose, activities or interests of the United Nations are set out in administrative instruction ST/AI/2000/13. The Ethics Office continues to offer advice concerning the appropriateness of proposed outside employment and activities, including whether any restrictions should be placed on a staff member's actions while engaging in outside employment or activity. Under the administrative instruction, staff members have the discretion to engage in social, charitable or educational activities on their own time.

29. The report of the Ethics Office also provides some detail concerning the advice it has provided to the Procurement Division on issues related to the ethics, anti-corruption and corporate compliance programmes of vendors seeking to do business with the United Nations (ibid., paras. 17-20). In particular, the Office has provided independent advice to the Departments of Management and Field Support with respect to the establishment of a contractual oversight mechanism for two critical service vendors that support peacekeeping efforts (ibid., para. 20). **The Advisory Committee continues to support the positive role played by the Ethics Office in the area of procurement ethics, particularly in view of the operational and reputational risks associated with the Organization's procurement activities. The Committee requests that future reports of the Ethics Office contain additional detail concerning the advice provided on contractual oversight mechanisms for vendors of critical services.**

30. In addition, it is indicated that the Ethics Office has provided independent ethics advice to the Executive Office of the Secretary-General on mitigating ethical and reputational risks that could arise from multi-stakeholder partnership initiatives (ibid., paras. 19 and 69). **In view of the Organization's increased interaction with external partners, the Advisory Committee stresses the importance of ensuring that all ethical and reputational risks related to partnership activities are minimized. The Committee agrees that the Ethics Office has an appropriate role to play in offering independent ethics advice in this regard.**

31. On a related matter, the Advisory Committee points to the possible ethical and reputational risks associated with the Organization's increased reliance on extrabudgetary resources from sources other than those derived from assessed contributions and stresses the importance of accountability and transparency in this regard. The Committee also recalls paragraphs 38-41 of General Assembly resolution 64/243, in which the Assembly stressed that extrabudgetary resources shall be used in consistency with the policies, aims and activities of the Organization and that all extrabudgetary posts must be administered and managed with the same rigour as regular budget posts. **The Committee underscores the importance of ensuring that activities financed from voluntary contributions are consistent with the objectives, policies, regulations and procedures of the Organization and are administered in accordance with the provisions of Assembly resolution 64/243. The Committee believes that the Ethics Office could play a useful role in offering independent advice to the Secretary-General**

on this subject, including regarding appointments to posts financed from extrabudgetary contributions.

32. Information on the implementation of the financial disclosure programme administered by the Ethics Office is contained in section III, part B, of the report. The Advisory Committee notes in particular that during the 2012 filing cycle, the programme covered 4,630 filers. A total of 4,626 participants (or 99.9 per cent) complied with their filing obligation, which equals the rate achieved for the 2011 filing cycle. The Office points out that this represents the highest overall compliance level in the history of the programme. Compliance details, by entity, are provided in the annex to the report, pursuant to a specific request of the Committee. The cases of four participants who had failed to comply with their filing obligations for 2012 had been referred to the Office of Human Resources Management for appropriate action (ibid., para. 29). Upon enquiry, the Committee was informed that the four cases of non-compliance were still under review and that it was premature to determine whether disciplinary measures would be imposed in those cases. **The Committee commends the Ethics Office for its efforts to ensure full compliance with the requirements of the financial disclosure programme. The Committee stresses the importance of taking timely action to impose appropriate measures in all cases of proven non-compliance with the programme.**

33. The Secretary-General indicates that during the 2012 filing cycle, 116 senior officials at the level of Assistant Secretary-General and above participated in the voluntary public disclosure initiative, representing a participation rate of 85.9 per cent. Of those, 80 participants disclosed a summary of their assets, liabilities and outside interests on the Organization's website. The remaining 36 officials publicly affirmed that they had completed a confidential financial disclosure required by the Organization. The participation rate reflects a slight decrease from the 2011 filing cycle, which the Ethics Office indicates might be attributed to turnover in the population of senior officials (ibid., para. 31). **The Advisory Committee recalls its previous support for this initiative and trusts that the Secretary-General will continue to encourage senior officials who have not yet publicly disclosed a summary of their assets to do so in future cycles (see A/67/545, para. 166).**

34. According to the report, the financial disclosure programme seeks to identify, manage and mitigate personal conflicts of interest (A/68/348, para. 23). The programme's external reviewers identified 67 such items or activities, of which 9 related to financial holdings, 41 to outside activities and 17 to family relationships. A comparative breakdown of the remedial actions taken during 2011 and 2012 is provided (ibid., table 1). The Ethics Office indicates that the enhanced awareness of conflicts of interest is evidenced by the overall decrease in the number of conflict cases related to financial assets. While 58 such cases were reported in the 2010 filing cycle, only 14 such cases arose in 2011 and 9 in 2012 (ibid., para. 37).

35. With regard to actions taken in response to recommendations of the Advisory Committee, endorsed by the General Assembly in its resolution 66/234, concerning efforts to obtain external review services at a lower cost with respect to the financial disclosure programme, the report indicates that a contract has been put in place with a new external vendor, with a resulting lower unit review cost (ibid., para. 35). Upon request, the Committee was informed that, assuming the total number of files received in 2013 is consistent with that of 2012, the estimated cost per file submitted for external review would decrease from $405 to $241 with the new

service provider. The estimated total costs, based on an estimated filing population of 4,600, would be $1,108,600, as compared with estimated total costs for 2012 of $1,875,150. **The Committee commends the efforts of the Secretary-General to negotiate more favourable terms with the external contractor providing review services for the financial disclosure programme and trusts that efforts will be made to ensure that the quality of services provided is maintained and that the confidentiality requirement is observed.**

36. In this connection, the Advisory Committee notes that on the basis of information made available to it at the time of its recent consideration of the 2014-2015 resource requirements for the Ethics Office, the Committee had recommended a related reduction in the funds set aside for contractual services of $267,900, as the budget proposal of the Secretary-General did not reflect the results of the above-mentioned change in external service providers and the related cost savings anticipated from this new contractual arrangement (see A/68/7, para. I.55). During its consideration of the report of the Secretary-General, the Committee was informed, upon request, that the Office intended to apply related savings to the development of a new information technology platform for the financial disclosure programme. The Committee was also informed that the amount of the anticipated cost savings was not yet final. **The Committee recommends that the General Assembly be provided with updated information with respect to cost savings arising from the newly established contract with the external reviewer, along with a cost estimate for the development of the proposed new information technology platform, so that an informed decision can be taken with respect to the level of resources required for the Office's activities and the reduction in operational costs necessary for the biennium 2014-2015.**

37. The Advisory Committee notes that its recommendation that the regulatory framework of the financial disclosure programme be reviewed to give the Ethics Office a greater role in determining the filing population and to formulate a more focused set of eligibility criteria (see A/66/511, para. 33) was endorsed by the General Assembly in its resolution 66/234. The report of the Secretary-General indicates that the review will consider other measures to address conflicts of interest and that it will be conducted by the Ethics Office in consultation with other Secretariat offices, including the Office of Human Resources Management and the Office of Legal Affairs (A/68/348, para. 36). **The Committee looks forward to the outcome of the review and expects that the results of the consultation will be included in the next report of the Secretary-General on the activities of the Ethics Office.**

38. With regard to the protection of staff against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations, it is indicated that during the reporting period the Ethics Office received 49 enquiries relating to the Organization's policy on protection against retaliation (see ST/SGB/2005/21). Of those, the Office initiated 15 preliminary reviews, of which 12 were completed and 3 were referred to the Office of Internal Oversight Services for investigation (A/68/348, para. 41). The Ethics Office is awaiting receipt of the related investigation reports in those cases (ibid., para. 44). Of the referrals made in the two prior periods, the report indicates that the Office had determined that retaliation had been established in only one case (ibid., paras. 45 and 46). It is also indicated in the report that despite the intent of the policy to encourage reporting of serious misconduct harmful to the Organization, the policy continues to be utilized

as a staff grievance and labour dispute mechanism (ibid., para. 47). As a consequence, the Office has initiated an independent review of this policy. As requested in General Assembly resolution 67/255, the Secretary-General will report to the Assembly at its sixty-ninth session on the modalities and recommendations for enhancing the policy on protection against retaliation (ibid., para. 48).

39. On the issue of ethics education, the Secretary-General reports that the Ethics Office launched a project of leadership dialogues in 2012/13. The Office developed a discussion guide on the obligations arising from being an international civil servant and the importance of the United Nations oath of office. Starting with the Secretary-General's senior leadership team, each successive layer of management was asked to lead its immediate staff in a guided conversation on the meaning of the international civil service. As at 31 July 2013, 28 departments had participated in such dialogues, with 13 department heads certifying completion (ibid., para. 55). **The Advisory Committee welcomes this effort to promote a culture of ethics at the senior management level and encourages the Secretary-General to expand the initiative to include managers and staff in peacekeeping missions and at offices away from Headquarters.**

40. The Advisory Committee notes several other instances in which the Office has contributed to improvements in the Organization's commitment to developing an ethical culture. With observer status in the Secretary-General's Management Committee, the Director of the Office is able to provide input and advice on management issues. During the 2012/13 reporting period, the Office provided comments on the proposed amendments to the Secretary-General's bulletin on the status, basic rights and duties of United Nations staff (ST/SGB/2002/13) and proposed amendments to the Staff Regulations and Rules (see A/68/29) (ibid., para. 60). The Director of the Ethics Office was also tasked with conducting confidential ethical leadership behaviour assessments for all Under-Secretaries-General who had signed senior management compacts during the 2013 cycle (ibid., para. 63). **The Committee supports the role of the Ethics Office in setting standards across the Organization.**

41. The activities of the Ethics Panel of the United Nations, which is responsible for establishing a unified set of ethical standards and policies for the Secretariat and the separately administered funds and programmes, as well as for consulting on important and complex cases and issues having system-wide implications, is described in section IV of the report. In particular, the Panel reviewed lessons learned from the implementation of the policy of providing protection to staff against retaliation for reporting misconduct. The possible effect of recent decisions of the United Nations Dispute Tribunal on the operations of the Ethics Office was mentioned (ibid., para. 73). Upon enquiry, the Advisory Committee was informed that the Ethics Office was concerned about the possible effect such rulings might have on its independent status and its ability to provide advice in confidence. In the context of related enquiries on the system of administration of justice, the Committee was informed that the matter continued to be under judicial review. **While recognizing that the matter remains under review, the Committee takes note of the concerns of the Ethics Office and expects the Secretary-General to monitor the issue accordingly.**

Annex I

Summary of staff movements by gender from 1 July 2012 to 30 June 2013

(Population 26,992)

	Female	*Percentage of total*	*Male*	*Percentage of total*	*Total*
Balance as at 30 June 2012	11 259	41	16 124	59	27 383
External movements					
Appointments[a]	1 947	50.5	1 909	49.5	3 856
Separations[b]	1 833	47.8	2 005	52.2	3 838
Other[c]	(257)	62.8	(152)	37.2	(409)
Balance as at 30 June 2013	11 116	41.2	15 876	58.8	26 992
Internal movements					
Promotions[d]	659	48.6	698	51.4	1 357
Transfers[e]	241	59.8	162	40.2	403

[a] Including new appointments and reappointments.

[b] The movement of staff out of the Secretariat.

[c] Net movements of staff other than appointments and separations, including movement to and return from special leave without pay and secondment to other organizations.

[d] The movement of staff to a higher grade, except from the General Service and related categories to the Professional category, which is considered recruitment, pursuant to General Assembly resolution 55/258.

[e] Lateral movements of staff involving two departments or offices at one or more duty stations.

Annex II

List of Under-Secretary-General and Assistant Secretary-General positions in the Secretariat as at 30 June 2013

No.	*Entity*	*Functional title*
Under-Secretary-General level		
1	Department of Field Support	Under-Secretary-General
2	Department of Political Affairs	Special Envoy
3	Department of Peacekeeping Operations	Special Representative
4	Economic Commission for Latin America and the Caribbean	Executive Secretary
5	Executive Office of the Secretary-General	Chef de Cabinet
6	Economic and Social Commission for Asia and the Pacific	Executive Secretary
7	Economic and Social Commission for Western Asia	Executive Secretary
8	Office for the Coordination of Humanitarian Affairs	Under-Secretary-General
9	Office for Disarmament Affairs	Under-Secretary-General
10	Office of the United Nations High Commissioner for Human Rights	Under-Secretary-General
11	Office of Internal Oversight Services	Under-Secretary-General
12	Office of Legal Affairs	Under-Secretary-General
13	Office of the Special Representative of the Secretary-General for Children and Armed Conflict	Special Representative
14	United Nations Mission in Liberia	Special Representative
15	United Nations Mission in South Sudan	Special Representative
16	United Nations Operation in Côte d'Ivoire	Special Representative
17	United Nations Office at Nairobi	Director-General
18	Department of Economic and Social Affairs	Under-Secretary-General

No.	*Entity*	*Functional title*
19	Department of Economic and Social Affairs	Special Representative
20	Department of Economic and Social Affairs	Under-Secretary-General
21	Department for General Assembly and Conference Management	Under-Secretary-General
22	Department of Management	Under-Secretary-General
23	Department of Management	Special Adviser
24	Department of Political Affairs	Special Adviser
25	Department of Political Affairs	Personal Envoy
26	Department of Political Affairs	Personal Representative
27	Department of Political Affairs	Special Adviser
28	Department of Political Affairs	Special Envoy
29	Department of Political Affairs	Special Adviser
30	Department of Political Affairs	Under-Secretary-General
31	Department of Political Affairs	Under-Secretary-General
32	Department of Political Affairs	Personal Envoy of the Secretary-General for the talks between Greece and the former Yugoslav Republic of Macedonia
33	Department of Public Information	Under-Secretary-General
34	Department of Political Affairs	Special Adviser to the Secretary-General for Community-based Medicine and Lessons from Haiti
35	Department of Peacekeeping Operations	Under-Secretary-General
36	Department of Safety and Security	Under-Secretary-General
37	Economic Commission for Africa	Under-Secretary-General
38	Economic Commission for Europe	Executive Secretary
39	Executive Office of the Secretary-General	Special Envoy of the Secretary-General for Global Education
40	Executive Office of the Secretary-General	Deputy Secretary-General

No.	*Entity*	*Functional title*
41	Executive Office of the Secretary-General	Special Adviser
42	International Criminal Tribunal for Rwanda	Prosecutor
43	International Tribunal for the Former Yugoslavia	Prosecutor
44	United Nations Multidimensional Integrated Stabilization Mission in Mali	Special Representative
45	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Special Representative
46	Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States	Under-Secretary-General
47	Office of the Joint Special Representative of the United Nations and the League of Arab States for Syria	Under-Secretary-General
48	Office of the Special Adviser on Africa	Under-Secretary-General
49	Office of the Special Envoy of the Secretary-General for the Sahel	Special Envoy
50	Office of the Special Envoy for the Sudan and South Sudan	Special Envoy
51	United Nations Human Settlements Programme	Executive Director
52	United Nations Assistance Mission in Afghanistan	Special Representative
53	United Nations Assistance Mission for Iraq	Special Representative
54	African Union-United Nations Hybrid Operation in Darfur	Special Representative
55	United Nations Conference on Trade and Development	Secretary-General of the Conference
56	United Nations Environment Programme	Executive Director

No.	*Entity*	*Functional title*
57	United Nations Integrated Peacebuilding Office in Guinea-Bissau	Special Representative
58	United Nations Regional Office for Central Africa	Special Representative
59	United Nations Office on Drugs and Crime	Director-General
60	United Nations Office at Geneva	Director-General
61	United Nations Office on Sport for Development and Peace	Under-Secretary-General
62	United Nations Office at Vienna	Special Representative
63	United Nations Office for West Africa	Special Representative
64	United Nations Political Office for Somalia	Special Representative
65	Office of the United Nations Special Coordinator for the Middle East Peace Process	Special Coordinator
66	Office of the Special Coordinator of the Secretary-General for Lebanon	Special Coordinator
67	United Nations Support Mission in Libya	Special Representative
68	United Nations Assistance Mission in Somalia	Special Representative
Assistant Secretary-General level		
1	United Nations Integrated Peacebuilding Office in the Central African Republic	Special Representative
2	Department of Economic and Social Affairs	Assistant Secretary-General
3	Department of Management	Assistant Secretary-General
4	Department of Management	Assistant Secretary-General
5	Department of Management	Assistant Secretary-General, Controller
6	Department of Safety and Security	Assistant Secretary-General

No.	*Entity*	*Functional title*
7	Executive Office of the Secretary-General	Assistant Secretary-General
8	Executive Office of the Secretary-General	Assistant Secretary-General
9	Office for the Coordination of Humanitarian Affairs	Assistant Secretary-General
10	Office for the Coordination of Humanitarian Affairs	Assistant Secretary-General
11	Office of the United Nations High Commissioner for Human Rights	High Commissioner for Human Rights
12	Office of Legal Affairs	Registrar
13	United Nations Human Settlements Programme	Deputy Executive Director
14	United Nations Assistance Mission for Iraq	Special Representative
15	United Nations Environment Programme	Deputy Executive Director
16	United Nations Peacekeeping Force in Cyprus	Special Representative
17	United Nations Office in Burundi	Special Representative
18	Counter-Terrorism Committee Executive Directorate	Executive Director
19	Department of Economic and Social Affairs	Assistant Secretary-General
20	Department of Field Support	Assistant Secretary-General
21	Department for General Assembly and Conference Management	Assistant Secretary-General
22	Department of Management	Executive Director
23	Department of Management	Assistant Secretary-General
24	Department of Management	Assistant Secretary-General
25	Department of Political Affairs	Adviser
26	Department of Political Affairs	Assistant Secretary-General
27	Department of Political Affairs	Assistant Secretary-General
28	Department of Political Affairs	Assistant Secretary-General

No.	*Entity*	*Functional title*
29	Department of Political Affairs	Special Adviser
30	Department of Political Affairs	Special Adviser
31	Department of Peacekeeping Operations	Assistant Secretary-General
32	Department of Peacekeeping Operations	Assistant Secretary-General
33	Department of Peacekeeping Operations	Military Adviser
34	Executive Office of the Secretary-General	Assistant Secretary-General
35	Executive Office of the Secretary-General	Special Envoy
36	Executive Office of the Secretary-General	Assistant Secretary-General
37	Executive Office of the Secretary-General	Assistant Secretary-General
38	International Criminal Tribunal for Rwanda	Registrar
39	International Tribunal for the Former Yugoslavia	Registrar
40	United Nations Mission for the Referendum in Western Sahara	Special Representative
41	United Nations Multidimensional Integrated Stabilization Mission in Mali	Force Commander
42	United Nations Stabilization Mission in Haiti	Special Representative
43	United Nations Stabilization Mission in Haiti	Special Representative
44	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Force Commander
45	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Special Representative
46	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	Special Representative
47	Office for the Coordination of Humanitarian Affairs	Humanitarian Envoy

No.	Entity	Functional title
48	Office of the United Nations High Commissioner for Human Rights	Assistant Secretary-General
49	Office of Internal Oversight Services	Assistant Secretary-General
50	Office of the Joint Special Representative of the United Nations and the League of Arab States for Syria	Special Representative
51	Office of Legal Affairs	Registrar for the Special Tribunal for Lebanon
52	Office of Legal Affairs	Assistant Secretary-General
53	United Nations Assistance Mission in Afghanistan	Special Representative
54	United Nations Assistance Mission in Afghanistan	Special Representative
55	United Nations Assistance Mission for Iraq	Special Representative
56	African Union-United Nations Hybrid Operation in Darfur	Assistant Secretary-General
57	United Nations Conference on Trade and Development	Assistant Secretary-General of the Conference
58	United Nations Disengagement Observer Force	Force Commander
59	United Nations Environment Programme	Executive Secretary
60	United Nations Interim Force in Lebanon	Force Commander
61	United Nations Integrated Peacebuilding Office in Sierra Leone	Executive Representative
62	United Nations Interim Security Force for Abyei	Force Commander
63	United Nations Interim Administration Mission in Kosovo	Special Representative
64	United Nations Mission in Liberia	Special Representative
65	United Nations Mission in Liberia	Special Representative
66	United Nations Mission in South Sudan	Special Representative
67	United Nations Mission in South Sudan	Special Representative

No.	*Entity*	*Functional title*
68	United Nations Office to the African Union	Special Representative
69	United Nations Operation in Côte d'Ivoire	Special Representative
70	United Nations Operation in Côte d'Ivoire	Special Representative
71	United Nations Office in Mali	Special Representative
72	United Nations Office of the Ombudsman and Mediation Services	Assistant Secretary-General
73	United Nations Regional Centre for Preventive Diplomacy for Central Asia	Special Representative
74	United Nations Representative to the Geneva International Discussions	Assistant Secretary-General
75	Office of the United Nations Special Coordinator for the Middle East Peace Process	Coordinator
76	Office of the Special Coordinator of the Secretary-General for Lebanon	Special Representative
77	United Nations Support Mission in Libya	Special Representative
78	United Nations Truce Supervision Organization	Chief of Staff